

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 3149-01 <b>10/509350</b>
INTERNATIONAL APPLICATION NO. PCT/US03/08912	INTERNATIONAL FILING DATE 25 March 2003 (25.03.2003)	PRIORITY DATE CLAIMED 01 April 2002 (1.04.2002)
TITLE OF INVENTION A PROCESS AND COMPOSITIONS FOR MAKING OPTICAL FIBER GELS		
APPLICANT(S) FOR DO/EO/US THE LUBRIZOL CORPORATION; LAWATE, Saurabh S.; SILVERSTEIN, Robert A. and TOLFA, John C.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input checked="" type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: <b>Form PTO-1449 IDS and Foreign &amp; Other cited art</b></p>		

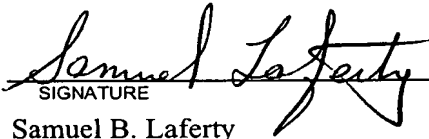
This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO-1390 (Rev. 07-2004)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. <b>107509350</b> (If known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. <b>PCT/US03/08912</b>		ATTORNEY'S DOCKET NUMBER <b>3149-01</b>																																																	
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (CFR 1.492(a)(1)-(5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1080.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: left;">CALCULATIONS</th> <th style="text-align: left;">PTO USE ONLY</th> </tr> <tr> <td style="width: 50%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> <tr> <td></td> <td style="text-align: right;">\$ 920.00</td> <td></td> </tr> <tr> <td></td> <td style="text-align: right;">\$ 0.00</td> <td></td> </tr> <tr> <td></td> <td style="text-align: right;">\$ 0.00</td> <td></td> </tr> <tr> <td></td> <td style="text-align: right;">\$ 0.00</td> <td></td> </tr> <tr> <td></td> <td style="text-align: right;">\$ 0.00</td> <td></td> </tr> <tr> <td colspan="2"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td style="text-align: right;">\$ 920.00</td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.         </td> <td style="text-align: right;">\$ 0.00</td> </tr> <tr> <td colspan="2"><b>SUBTOTAL =</b></td> <td style="text-align: right;">\$ 920.00</td> </tr> <tr> <td colspan="2">           Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).         </td> <td style="text-align: right;">\$ 0.00</td> </tr> <tr> <td colspan="2"><b>TOTAL NATIONAL FEE =</b></td> <td style="text-align: right;">\$ 920.00</td> </tr> <tr> <td colspan="2">           Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property         </td> <td style="text-align: right;">\$</td> </tr> <tr> <td colspan="2"><b>TOTAL FEES ENCLOSED =</b></td> <td style="text-align: right;">\$ 920.00</td> </tr> <tr> <td colspan="2"></td> <td style="text-align: right;">Amount to be refunded: \$</td> </tr> <tr> <td colspan="2"></td> <td style="text-align: right;">Amount to be charged: \$</td> </tr> </table>		CALCULATIONS		PTO USE ONLY					\$ 920.00			\$ 0.00			\$ 0.00			\$ 0.00			\$ 0.00		<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$ 920.00	<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.		\$ 0.00	<b>SUBTOTAL =</b>		\$ 920.00	Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		\$ 0.00	<b>TOTAL NATIONAL FEE =</b>		\$ 920.00	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$	<b>TOTAL FEES ENCLOSED =</b>		\$ 920.00			Amount to be refunded: \$			Amount to be charged: \$
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a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>12-2275</u> in the amount of \$ <u>920.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-2275</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.																																																					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.																																																					
SEND ALL CORRESPONDENCE TO: Samuel B. Laferty The Lubrizol Corporation Patent Dept./Mail Drop 022B 29400 Lakeland Blvd. Wickliffe, OH 44092-2298 US																																																					
				 SIGNATURE <u>Samuel B. Laferty</u> NAME <u>31,537</u> REGISTRATION NUMBER																																																	

**ADDED PAGE FOR APPLICATION TRANSMITTAL WHERE BENEFIT  
OF PRIOR U.S. APPLICATION(S) CLAIMED****10. Relate Back-35 U.S.C. 120**

- ☒ Amend the Specification by inserting before the first line the sentence:

"Please amend the specification by inserting as the first line "This application claims the benefit of prior U.S. Application Serial No. 60/369,008 filed 1 April 2002".

**11. Maintenance of Copendency of Prior Application**

- ☐ Extension of time in prior application  
☐ A petition, fee and response extends the term in the pending prior application until \_\_\_\_\_  
☐ A copy of the petition filed in prior application is attached

**12. Further Inventorship Statement Where Benefit of Prior Application(s) Claimed**

(complete applicable item (a) or (b) below)

(a) ☒ This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are

☒ the same

☐ less than those named in the prior application and it is requested that the following inventor(s) identified for the prior application be deleted:

---

*(type name(s) of inventor(s) to be deleted)*

(b) ☐ This application discloses and claims additional disclosure. With respect to the prior application the inventor(s) are

☐ the same

☐ the following additional inventor(s) have been added

---

*(type name(s) of inventor(s) to be added)*

**13. Abandonment of Prior Application (if applicable)**

☒ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.

**14. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment**

- ☐ There is provided herewith a Petition To Suspend Prosecution for the Time Necessary to File An Amendment (New Application Filed Concurrently)

**15. Copy of Prior Application as Filed (37 CFR 1.60 only)**

The attached papers are a true copy of what is shown in my records to be the above-identified prior application, including the oath or declaration originally filed. No amendments referred to in the oath or declaration filed to complete the prior application introduced new matter therein (37 CFR 1.60).

CERTIFICATION UNDER 37 CFR 1.10


Docket No. 3149-01	
INTERNATIONAL APPLICATION NO.	PCT/US03/08912
INTERNATIONAL FILING DATE:	25 March 2003
PRIORITY DATE CLAIMED:	01 April 2002
TITLE OF INVENTION:	A PROCESS AND COMPOSITIONS FOR MAKING OPTICAL FIBER GELS
APPLICANTS:	THE LUBRIZOL CORPORATION; LAWATE, Saurabh S.; SILVERSTEIN, Robert A.; TOLFA, John C.

EV199737145US
Express Mail mailing number

9/28/04
Date of Deposit

I hereby certify that the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 and the documents listed below are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to MAIL STOP PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

Added Page for Application Transmittal Where Benefit of Prior U.S.  
Application(s) Claimed  
Information Disclosure Statement  
Form PTO-1449 IDS  
Copies of Foreign and "Other" Cited Art listed on Form PTO-1449 IDS  
Return Receipt Postcard

  
Signature of Person Mailing Correspondence

Nancy S. Dedek  
Typed or printed name of person mailing correspondence

BEST AVAILABLE COPY